UNITED
NATIONS

DP

Governing Council
of the
United Nations
Development Programme

Distr.
GENERAL

DP/1991/64
20 May 1991

ORIGINAL: ENGLISH

POLICY

Thirty-eighth session
3-21 June 1991, New York
Item 5 (b) of the provisional agenda

PROGRAMME PLANNING

Preparations for the fifth programming cycle, including funding strategy

Special Programme Resources: Overview and programming documents

Report of the Administrator

SUMMARY

In response to paragraph 8 of Governing Council decision 91/3 of 22 February 1991, the Administrator is submitting an overview and programming document containing the information specified in the annex to decision 91/3. The present document contains the overview; the programming document will be issued as an addendum to it.

OVERVIEW

1. As requested by the Governing Council in paragraph 8 of its decision 91/3 of 22 February 1991, the Administrator is submitting, as addenda to the present document, programming documents for the subcategories of the Special Programme Resources (SPR). A document is being submitted for each subcategory except Social Dimensions of Adjustment, Transfer and Adaptation of Technology for Development, and Technical Cooperation among Developing Countries. In these three cases, programming documents will be submitted for approval to the Governing Council at its special session in February 1992. The programming documents follow the structure indicated by the Governing Council in decision 91/3. Financial allocations also follow the earmarkings agreed to by the Governing Council in decision 91/3 (see table).

2. In decision 91/3, the Governing Council stressed "the importance of Special Programme Resources as a catalyst in ensuring that the other resources of the programme achieve the objective of building the national capacity of developing countries, especially in the six thematic areas listed in paragraph 7 of decision 90/34", and "the role of Special Programme Resources in improving the quality and effectiveness of UNDP-funded technical assistance". The SPR therefore includes both the continuation into the fifth programming cycle of many of the fourth cycle activities, and new activities aiming to respond to the Council's call for building national capacity in the six areas of focus.

3. For the ongoing SPR activities, the United Nations Development Programme (UNDP) will continue to ensure that SPR resources play a catalytic role and that innovative approaches be developed to improve the effectiveness of technical cooperation.

4. For the new activities, those concerned with the development of capacity in the six areas of focus listed in decision 90/34 and those concerned with programme development, the central objective will be to integrate the themes with country-level activities. For each specific area of focus and subcategory, a programme or task manager will be designated to develop, elaborate and manage the programme. Mechanisms will be established for the coordination of activities in the six areas of focus and programme development.

5. Within the overall guidelines for the six areas of focus, procedures will be established to ensure that SPR activities achieve the objective of supporting, strengthening and supplementing indicative planning figure (IPF)-funded activities. Thus, activities will be developed in a continuous dialogue between field offices and headquarters. The Bureaux will ensure that SPR resources play a catalytic role in developing new and more effective approaches to technical cooperation, and that, in the development of these innovative approaches, the building of national capacity in the six areas of focus is the central objective.

/...

6. The new areas of activity can be considered to have two overriding purposes. The first is to support the development of national capacity for human development, in particular for social policy adjustment. This broad category includes poverty alleviation, women in development, drug abuse control, non-governmental organizations (NGOs), education for all, and human immune deficiency virus/acquired immune deficiency syndrome (HIV/AIDS). The second broad purpose is support for improved resource management, including environmental sustainability, and management development in the private and public sectors. In developing the programmes within these two broad areas, activities under each subprogramme will be coordinated: mechanisms will be established to ensure that the complementarities and interlinkages among the subcategories are built upon for maximum effectiveness. Support will therefore be available to governments to review existing policies and programmes concerned with social policy and/or resource management in a comprehensive manner and to select alternative approaches which respond more effectively to national requirements and constraints. Mechanisms will also be established to ensure that women's concerns are systematically identified, addressed and mainstreamed in all activities undertaken to support the development of national capacity.

7. Programme development in each of the six areas of focus will thus involve close association with country, regional and interregional programmes. Activities will include (a) networking among institutions in developed and developing countries; (b) policy-oriented research and analysis at country level in collaboration with national institutions; and (c) seminars and workshops in developing countries. Such activities will strengthen the ability of UNDP to respond to requests from governments in the priority areas of focus, to develop new concepts and innovative approaches to development problems, and to internalize issues in country and regional programmes by initiating activities at the country and regional levels. Thus, the common purpose of SPR activities, to mainstream their concerns into the country and regional programmes of UNDP, will be assured.

8. The mainstreaming of the new approaches developed by SPR activities will be achieved by a variety of means: first, by the attraction of increased resources to reinforce the effect of the six areas of focus on UNDP programming itself, and to apply on a broader scale the new approaches and new concepts developed. This reflects the catalytic effect of SPR resources in mobilizing additional resources both from within UNDP and from other sources. Secondly, SPR-funded activities will result directly in human resource development and increased institutional capability in developing countries to integrate the six areas of focus into policy and planning. Thirdly, the activities will lead to the creation of new processes to incorporate these themes. In pursuing national execution and a programme approach to UNDP-funded activities, the ensuing dialogue with governments will create opportunities to discuss the integration of the six areas of focus into country programmes and to respond to national priorities for strategic reviews of policy in the areas of social development and/or resource management. Similar opportunities will arise during UNDP participation in the broader technical cooperation programming processes, such as round-table conferences

and national technical cooperation assessments and programmes (NaTCAPS), and from the technical cooperation work undertaken in connection with Consultative Groups of the World Bank.

9. Except in the case of region-specific activities such as the United Nations Plan of Action for African Economic Recovery and Development (UNPAAERD) and the Special Plan of Economic Assistance to Central America, and activities concerned with disaster mitigation which cannot be pre-allocated on a regional basis, it is proposed that regional allocations follow the broad criterion that not more than 50 per cent of resources be allocated to any one region.

10. The earmarking of $50 million to emergency-related activities will enable UNDP to respond to unpredictable emergencies as they occur. Procedures will ensure the speediest possible processing of requests associated with the relief phase of emergencies.

11. Procedures for the approval of SPR activities are explained in each programming document. Proposals for activities under the SPR will originate both in the field, as a result of dialogue with Governments, and at headquarters. For ongoing SPR-funded programmes, procedures are already in place and will be continued. These procedures involve the formulation of projects and their scrutiny by Project Appraisal Committees (PACs) or other reference bodies with representation from all interested bureaux and units, for example, the Environment Action Team and the Management Development Programme Reference Group. After the review by reference bodies, projects are submitted to the Action Committee. For activities in new areas, procedures similar to those of the Management Development Programme will be followed where appropriate. In all cases this will involve a technical appraisal by a PAC or reference body, and subsequent submission to the Action Committee for approval.

12. Concerning monitoring and evaluation, it is proposed to pursue the following approach: for new subprogrammes of less than $10 million, evaluations will be carried out according to normal UNDP procedures; for new phases of continuing subprogrammes of less than $10 million, and which have not been evaluated in the past, it is proposed that there should be an independent evaluation; for all programmes above $10 million, an evaluation will be undertaken with the support of the Central Evaluation Office (CEO). This will include thematic evaluations of the six areas of focus within three years: half will be carried out after two years, and half after three years. These thematic evaluations will be reported to the Governing Council. The costs associated with evaluation will be borne by each subprogramme.

13. For certain subcategories, it is proposed that advance resources be made available. In the case of activities linked to country-programming initiatives, it is essential that resources are available immediately, since 1991 is an intense period for country programming activities for the fifth cycle. In order that new initiatives and new approaches to programme development can begin to be reflected in country programming as soon as

possible, it is proposed that $500,000 be made available for country programming initiatives in 1991. In the case of programme research, given the need to establish networks within developing countries, to develop methodologies for each subprogramme and to organize planning workshops, it is proposed that $200,000 be made available for 1991. For each new area of activity, it is proposed that 10 per cent of the SPR earmarking be made available during 1991, so that the results of these innovative activities can be reflected in country and regional level initiatives as soon as possible.

14. As requested by the Governing Council at its special session in February 1991, activities have been programmed and budgetary requirements identified for the first two years of the fifth programming cycle, 1992-1993. The Governing Council also agreed to earmark a contingency reserve of $16 million. This reserve may be allocated at the discretion of the Adminstrator, to respond to unforeseen and emerging needs. In this case, proposals will be subject to the normal approval procedures of PACs and the Action Committee, and the use of such funds will be reported to the Governing Council. If the Administrator deems it necessary to shift resources among subcategories, proposals justifying the changes will be submitted in advance to the Governing Council for approval.

Proposed earmarkings for fifth cycle SPR

(In millions of dollars)

Category		Earmarking
A.	Disaster mitigation	
A1.	Disaster preparedness and management	10
A2.	Emergency relief	7
A3.	Reconstruction and rehabilitation	18
A4.	Refugees, displaced persons and returnees	5
	Reserve for utilization after General Assembly adoption of guidelines	10
	SUBTOTAL	50
B.	Thematic activities	
B1.	Poverty eradication and grass-roots participation in development	20
B2.	Environmental problems and natural resources management	25
B3.	Management development	40
B4.	Technical cooperation among developing countries	15
B5.	Transfer and adaptation of technology for development	7
B6.	Women in development	8
	SUBTOTAL	115
C.	Other special and/or new activities	
C1.	Human development report	5
C2.	Special plan of economic assistance to Central America	20
C3.	United Nations Programme of Action for African Economic Recovery and Development	10
C4.	Drug abuse control/crop substitution	5
C5.	HIV/AIDS	5
C6.	Social dimensions of adjustment	a/
C7.	World Conference on Education for All	a/
C8.	Private sector development	4
C9.	NGOs	a/
	SUBTOTAL	53
D.	Aid coordination	
D1.	NaTCAPs, round-table meetings and UNDP support to Consultative Group meetings	25
D2.	Others, e.g., needs assessments, country programme reviews	5
D3.	Country programming initiatives	5
	SUBTOTAL	35
E.	Programme development	
E1.	Project development facility	15
E2.	Programme evaluation/training	7
E3.	Programme research	7
	SUBTOTAL	29

/...

Category		Earmarking
F.	Assistance to the Palestinian people	
	SUBTOTAL	15
G.	Contingencies	
	SUBTOTAL	16
	GRAND TOTAL	313

---

a/ Lines C.6, C.7 and C.9 were assigned $4 million in the aggregate.